

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Application of: Stefan Berg, et al.

Serial No.: 10/539,543

Group Art Unit: To Be Determined

Filing Date: June 16, 2005

Examiner: To Be Determined

For: Novel Compounds Having Selective Inhibiting Effect at GSK3

**MAIL STOP PCT**Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. §§ 1.56 and in accordance with 37 C.F.R. §§ 1.97 and 1.98, information relating to the above-identified application is hereby disclosed. The Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PRO Forms SB/08A and SA/08B, formerly known as PTO Form 1449 submitted herewith.

Inclusion of the information submitted herewith is not to be construed as an admission that the information is material as that term is defined in 37 C.F.R. § 1.56(b).

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

**This Information Disclosure Statement is being filed:**

- ☐ within three months of the filing date of the patent.
- ☐ within three months of the date of entry into the national stage as set forth in 37 C.F.R. § 1.491 of the International Application.
- ☒ before the mailing date of a first Office Action on the merits.

- ☐ after the mailing date of a first Office Action on the merits, but before the mailing date of a Final Office Action under 37 C.F.R. § 1.116 or a Notice of Allowance under 37 C.F.R. § 1.311, and accordingly is accompanied by:
- ☐ the Statement under 37 C.F.R. § 1.97(e) (see "Statement" below);
- or
- ☐ the Fee of \$180.00 set forth in 37 C.F.R. § 1.17(p); or
- ☐ no fee is owed by the applicant(s).
- ☐ In accordance with 37 C.F.R. § 1.129(a), the Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, and accordingly is accompanied by the Statement under 37 C.F.R. § 1.97(e) (see "Statement" below) and the fee of \$180.00 as set forth in 37 C.F.R. § 1.17(p) is attached.
- ☐ After the mailing date of a Final Office Action under 37 C.F.R. § 1.116 or a Notice of Allowance under 37 C.F.R. § 1.311, but before the payment of the Issue Fee, and accordingly is accompanied by the Statement under 37 C.F.R. § 1.97(e), (see "Statement", and "Fees" below).
- ☒ Copies of the references (excluding the US Patent Documents) listed on the attached PTO Forms SB/08a and SB/08b, formerly known as PTO Form 1449, are enclosed including a copy of the International Search Report dated April 20, 2004 for International Application No. PCT/SE2003/001955 and International-Type Search Report dated September 10, 2003.

**EXCEPT THAT:**

- ☐ In view of the voluminous nature of reference \_\_\_\_\_, and the likelihood that this reference is available to the Examiner, copies are not enclosed herewith
- ☐ In accordance with 37 C.F.R. § 1.98(d), copies of the following references listed on the attached PTO Form SB/08A and PTO Form SB/08B, formerly known as PTO Form 1449 are not enclosed herewith because they were previously cited by or submitted to the US Patent and Trademark Office in the patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

**Statement under 37 C.F.R. § 1.97(e)**

- ☐ The undersigned attorney hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.

**Fees**

- ☒ No fee is owed by the applicant(s).
- ☐ The Information Disclosure Statement Fee of \$180.00 under 37 C.F.R. § 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

- ☐ Attached is a check in the amount of \$\_\_\_\_\_. This form is submitted in duplicate.
- ☐ Charge Deposit Account No. 26-0166 in the amount of \$180.00. This form is submitted in duplicate.
- ☒ Please charge any deficiency or credit any overpayment of Deposit Account 26-0166.
- ☐ No fee or Statement is required under 37 C.F.R. § 1.97(b).

Respectfully submitted,



Karen H. Kondrad  
Registration No.: 38,212

Dated: 9/29/05

Address Associated with Customer Number: 22466

1006 Rec'd PCT/PTO 03 OCT 2005

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0851-0031  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

6

Application Number

10/539,543

Filing Date

June 16, 2005

First Named Inventor

Stefan Berg

Art Unit

To Be Determined

Examiner Name

To Be Determined

Attorney Docket Number

100925-1 US

## ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☒

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐

Reply to Missing Parts/  
Incomplete Application

☐

Reply to Missing Parts  
under 37 CFR 1.52 or 1.53

☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐

Petition to Convert to a

☐

Provisional Application

☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s)

Landscape Table on CD

Remarks

☐

After Allowance Communication to TC

☐

Appeal Communication to Board  
of Appeals and Interferences

☐

Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)

☐

Proprietary Information

☐

Status Letter

☒

Other Enclosure(s) (please identify  
below):

Form PTO SB/08a and Form PTO SB/08b, 5  
References, Copy of International Search Report and  
International -Type Search Report for International  
Application No. PCT/SE2003/001955

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

AstraZeneca Pharmaceuticals

Signature

*Karen H. Kondrad*

Printed name

Karen H. Kondrad

Date

*Sept. 29, 2005*

Reg. No.

38,212

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

*Marie M. Greloch*

Typed or printed name

Marie M. Greloch

Date

*Sept 29, 2005*

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /J.M./

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

Sheet

1

of

1

Application Number

10/539.543

Filing Date

06/16/2005

First Named Inventor

Stefan Berg

**Art Unit**

To Be Determined

Examiner Name \_\_\_\_\_

To Be Determined

Attorney Docket Number

100925-1 US

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	†
		Country Code <sup>a</sup>	Number * Kind Code <sup>b</sup> (if known)				
	AC	WO	0168612 A2	Sept. 20, 2001	Cocensys, Inc.		
	AD	WO	02092585 A1	NOV. 21, 2002	Biovitrum AB		
	AE	WO	0160806 A2	Aug. 23, 2001	Neurogen Corp.		

Examiner Signature	/Jeffrey Murray/	Date Considered	08/19/2008
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the Indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

Application Number	10/539 543
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<b>Filing Date</b>	06/16/2005
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First Named Inventor	Stefan Berg
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Art Unit	To Be Determined
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Examiner Name	To Be Determined
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Attorney Docket Number	100925-1 US
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## NON PATENT LITERATURE DOCUMENTS

[illegible]

Examiner  
Signature

/Jeffrey Murray/

Date \_\_\_\_\_

Considered

08/19/2008

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation nber (optional). 2 Applicant is to place a check here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 112 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application to the USPTO. Time will vary depending upon the individual case. Any comments or suggestions for improvement should be directed to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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